

Approved: 8-17-98
Sunset Review: 8-17-00
Expires: 8-17-02

SUBJECT: SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT

1. OBJECTIVE. To establish Department of Energy (DOE) requirements and responsibilities to ensure that scientific and technical information (STI) is identified, processed, disseminated, and preserved in a manner that enables the scientific community and the public to locate and use the unclassified and unlimited STI resulting from DOE's research and related endeavors.
2. CANCELLATIONS. DOE 1430.1D, SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT, dated 6-30-94, and its associated, GUIDE TO THE MANAGEMENT OF SCIENTIFIC AND TECHNICAL INFORMATION, dated 6-30-94.
3. APPLICABILITY.
 - a. DOE Elements. This Order applies to all DOE organization elements.
 - b. Contractors. The Contractor Requirements Document (CRD) (see Attachment 1) sets forth the requirements to be applied (1) to management and operating and management and integration contractors or (2) to other contracts or financial assistance instruments resulting in the generation of STI. Compliance with the CRD will be required to the extent set forth in the contract.
 - c. Exclusions. None.
4. REQUIREMENTS.
 - a. DOE shall make STI broadly available, within applicable laws and Departmental requirements, to—
 - (1) accomplish mission objectives and strategic goals,
 - (2) promote scientific advancement,
 - (3) satisfy statutory protection and public dissemination requirements, and
 - (4) ensure a fair return on Departmental and taxpayer investment.

DISTRIBUTION:

All Department Elements

INITIATED BY:

Office of Scientific and Technical Information

- b. DOE programs that fund activities that generate STI shall emphasize it as a key outcome and use a “best business practices” approach to life-cycle information management. This approach is intended to ensure that STI products are planned, budgeted, produced, processed, disseminated, stored, and disposed of (if appropriate) in cost-effective ways that enable full use of such information by all customer segments, including the research and development community, U.S. industry, and the general public.
- c. Each major DOE element covered under this directive shall have a formal STI point of contact (e.g., a Technical Information Officer) to participate in the development and implementation of DOE’s Scientific and Technical Information Program (STIP).
- d. The Scientific and Technical Information Coordinating Group (STICG) shall serve as an advisory body concerning cross-cutting STI issues. The STICG shall consist of representatives of Headquarters’ elements that either fund research or set policies and practices affecting STI and field and contractor representatives.
- e. DOE programs shall ensure that STI, including scientific and technical computer software, is reviewed for sensitivity (including non-proliferation, national security, export control). DOE programs shall also ensure that appropriate announcement and availability restrictions are applied consistent with statutory and/or other Departmental requirements.
- f. DOE programs shall conduct formal STI performance reviews as appropriate as part of their program performance review processes.
- g. DOE shall maintain a central Departmental STI coordinating office and ultimate DOE repository, with various STIP activities becoming more decentralized over time, as appropriate.
- h. DOE shall use established best business practices for DOE’s STI to facilitate its cost-effective management and availability.
- i. DOE’s central STIP coordinating office shall manage an international STI exchange activity to ensure U.S. access to international scientific and technical advances and market information.
- j. All DOE elements shall make the results of scientific and technical endeavors broadly available in useful and acceptable forms, including announcing such STI results to the central coordinating office.
- k. Departmental elements shall share STI within the Department to optimize resources, minimize costly duplication, and ensure maximum program advancement.

5. RESPONSIBILITIES.

- a. Director, Office of Energy Research, through the Office of Scientific and Technical Information (OSTI)–
 - (1) coordinates with stakeholders and establishes STI requirements and responsibilities that ensure optimal availability of Departmental STI to the varied customer segments, within applicable laws and Departmental requirements;
 - (2) serves as the central Departmental STIP coordinating office and as the ultimate DOE repository for DOE's STI.
- b. Heads of Departmental Elements.
 - (1) Ensure that the objective and requirements of this Order are incorporated into their program planning, management, contract administration, and performance-based management activities.
 - (2) Instruct initiators of procurement requests to indicate therein whether the CRD for this Order applies in the award or sub-awards resulting from the procurement request and include any special instructions for applying the CRD.
 - (3) Ensure that STI products from non-management and operating/non-management and integration contractors are delivered to OSTI, in accordance with the CRD.
 - (4) Ensure that technical information deliverables are identified for financial assistance recipients through the Federal Assistance Reporting Checklist and that those deliverables are delivered to OSTI as well.
- c. The Office of Procurement and Assistance Management.
 - (1) Issues guidance on including performance objectives and measures for STI in performance-based research and development contracts.
 - (2) Issues guidance for financial assistance awards to address the identification and delivery of STI products.
- d. Heads of Contracting Activities.
 - (1) Ensure that the CRD for this Order is applied to relevant new contracts
 - (2) Ensure that performance measures for STI management are included in performance-based research and development contracts, as appropriate.
- e. Director, Naval Nuclear Propulsion Program, shall, in accordance with the responsibilities and authorities assigned by Executive Order 12344 (statutorily prescribed by 42 U.S.C. 7158, note) and to ensure consistency throughout the joint Navy/DOE organization of the Naval Nuclear Propulsion Program, implement and oversee all requirements and practices pertaining to this DOE order for activities under the Director's cognizance.

6. ASSISTANCE. Questions or requests for exceptions to the provisions of this Order may be referred to OSTI in Oak Ridge, Tennessee, at 423-576-1035. DOE G 241.1-1, GUIDE TO THE MANAGEMENT OF SCIENTIFIC AND TECHNICAL INFORMATION, provides non-mandatory guidelines for implementing the policy and requirements of this Order.

BY ORDER OF THE SECRETARY OF ENERGY:



THOMAS T. TAMURA
Acting Assistant Secretary for
Human Resources and Administration

CONTRACTOR REQUIREMENTS DOCUMENT

SCIENTIFIC AND TECHNICAL INFORMATION (STI) MANAGEMENT

In the performance of contracted obligations, each contractor is required to manage STI created or obtained under the contract as a direct and integral part of the work and to ensure its broad availability to all customer segments. STI is used to satisfy Department of Energy (DOE) statutory dissemination requirements, promote scientific advancement, and ensure a fair return on DOE and taxpayer investment.

1. To the extent set forth in their contracts, management and operating contractors and management and integration contractors shall accomplish the following:
 - a. Appoint a single STI point of contact to represent their organization in implementing DOE's Scientific and Technical Information Program (STIP).
 - b. Make available to DOE's Office of Scientific and Technical Information (OSTI) useful STI products (including scientific and technical computer software) resulting from scientific and technical endeavors. Those products shall be in accessible and acceptable forms, including an announcement record (DOE F 241.1) for each STI product. This requirement includes STI funded by DOE or developed under work for others and cooperative agreements (unless specifically excluded in the agreement under which the work is done), whether unclassified, sensitive, or classified.
 - c. Use best business practices in managing DOE's STI. Non-mandatory guidance on best business practices as identified by the DOE and contractor STIP community is available in DOE G 241.1, GUIDE TO THE MANAGEMENT OF SCIENTIFIC AND TECHNICAL INFORMATION.
 - d. Review STI generated under the contract to determine appropriate release and to apply any statutory or program-driven announcement and/or availability restrictions including those related to non-proliferation, national security, and export control.
 - e. Notify OSTI when making site-hosted STI products permanently unavailable for access to ensure continued availability.
2. As instructed by the DOE Contracting Officer, other contractors creating STI shall—
 - a. comply with technical reporting requirements stated in the contract and deliver STI created with DOE funds to OSTI so that the STI may be used to satisfy DOE statutory requirements, promote scientific advancement, and ensure a fair return on the DOE and taxpayer investment;
 - b. deliver the product in one of the acceptable electronic forms defined in DOE G 241.1-1.

NOTE: An implementation guide, DOE G 241.1-1, GUIDE TO THE MANAGEMENT OF SCIENTIFIC AND TECHNICAL INFORMATION, is available for assistance in implementing the requirements of this CRD. The guidelines have been based on best business practices and are developed and revised in coordination with the DOE and contractor STIP community.